

02-05-02

A/RE

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PTO/SB/50 (02-01)
Approved for use through 01/31/2004. OMB 0651-0033
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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REISSUE PATENT APPLICATION TRANSMITTAL

Address to: Assistant Commissioner for Patents Box Reissue Washington, DC 20231	Attorney Docket No.	1103179-0009
	First Named Inventor	Edward Colles Nevill
	Original Patent Number	6,021,265
	Original Patent Issue Date (Month/Day/Year)	February 1, 2000
	Express Mail Label No.	EL286382313US

APPLICATION FOR REISSUE OF: ☒ Utility Patent ☐ Design Patent ☐ Plant Patent
(Check applicable box)

APPLICATION ELEMENTS (37 CFR 1.173)	ACCOMPANYING APPLICATION PARTS
1. <input checked="" type="checkbox"/> Fee Transmittal Form (PTO/SB/56) + PTO/SB/17 (Submit an original, and a duplicate for fee processing)	10. <input checked="" type="checkbox"/> Statement of status and support for all changes to the claims. See 37 CFR 1.173 (c). See #15 below
2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.	11. <input type="checkbox"/> Original U.S. Patent for surrender
3. <input checked="" type="checkbox"/> Specification and Claims in double column copy of patent format (amended, if appropriate)	<input type="checkbox"/> Ribboned Original Patent Grant
4. <input checked="" type="checkbox"/> Drawing(s) (proposed amendments, if appropriate)	<input type="checkbox"/> Statement of Loss (PTO/SB/55)
5. <input checked="" type="checkbox"/> Reissue Oath/Declaration (original or copy) (37 C.F.R. § 1.175) (PTO/SB/54 or 52)	12. <input checked="" type="checkbox"/> Foreign Priority Claim (35 U.S.C. 119) (if applicable) see #15 below
6. <input checked="" type="checkbox"/> Power of Attorney	13. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations
7. Original U.S. Patent currently assigned? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, check applicable box(es))	14. <input type="checkbox"/> English Translation of Reissue Oath/Declaration (if applicable)
<input checked="" type="checkbox"/> Written Consent of all Assignees (PTO/SB/53)	15. <input checked="" type="checkbox"/> Preliminary Amendment including Nos. 10 & 12 above
<input checked="" type="checkbox"/> 37 C.F.R. § 3.73(b) Statement (PTO/SB/96)	16. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
8. <input type="checkbox"/> CD-ROM or CD-R in duplicate, Computer Program (Appendix) or large table	17. Other: copy of Terminal Disclaimer; Offer to Surrender Patent - part of Preliminary Amendment #15 above; Notice of Involvement in Litigation
9. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all of the following are necessary)	
a. <input type="checkbox"/> Computer Readable Form (CFR)	
b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM (2 copies) or CD-R (2 copies); or ii. <input type="checkbox"/> paper	
c. <input type="checkbox"/> Statements verifying identity of above copies	

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 007470 or ☐ Correspondence address below
(Insert Customer No. or Attach bar code label here)

Name			
Address			
City	State	Zip Code	Fax
Country	Telephone		

NAME (Print/Type)	Scott T. Weingaertner	Registration No. (Attorney/Agent)	37,756
Signature	<i>Scott T. Weingaertner</i>	Date	Feb. 1, 2002

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 2204

Complete if Known

Application Number Pat. No. 6,021,265
 Filing Date Issue Date: Feb. 1, 2000
 First Named Inventor Edward Colles Nevill
 Examiner Name
 Group Art Unit
 Attorney Docket No. 1103179-0009

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 23-1703

Deposit Account Name White & Case

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	740
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$ 740

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** = 44	x 18 =	792
Multiple Dependent	-3** = 8	x 84 =	672

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 1464

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$

SUBMITTED BY

Name (Print/Type) Scott T. Weingaertner
 Signature *Scott T. Weingaertner*

Registration No. (Attorney/Agent) 37,756

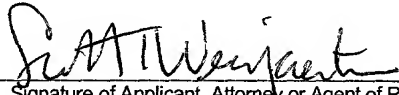
Complete (if applicable)

Telephone 212-819-8200
 Date Feb. 1, 2002

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REISSUE APPLICATION FEE TRANSMITTAL FORM						Docket Number (Optional) 1103179-0009		
Claims as Filed - Part 1								
Claims in Patent		Number Filed in Reissue Application	(3) Number Extra	Small Entity		Other than a Small Entity		
				Rate	Fee	Rate	Fee	
(A) 14	Total Claims (37 CFR 1.16(j))	(B) 64	**** 44 =	x \$	=	or	x \$ 18 = 792	
(C) 1	Independent claims (37 CFR 1.16(i))	(D) 9	* 8 =	x \$	=		x \$ 84 = 672	
				Basic Fee (37 CFR 1.16(h))			\$ 740	
				Total Filing Fee		\$	OR \$ 2204	
Claims as Amended - Part 2								
	(1) Claims Remaining After Amendment		(2) Highest Number Previously Paid For	(3) Extra Claims Present	Small Entity		Other than a Small Entity	
					Rate	Fee	Rate	Fee
Total Claims (37 CFR 1.16(j))	***	MINUS	**	* =	x \$	=	x \$	=
Independent Claims (37 CFR 1.16(i))	***	MINUS	*****	=	x \$	=	x \$	=
					Total Additional Fee		\$	OR \$
<p>* If the entry in (D) is less than the entry in (C), Write "0" in column 3.</p> <p>** If the "Highest Number of Total Claims Previously Paid For" is less than 20, Write "20" in this space.</p> <p>*** After any cancellation of claims.</p> <p>**** If "A" is greater than 20, use (B - A); if "A" is 20 or less, use (B - 20).</p> <p>***** "Highest Number of Independent Claims Previously Paid For" or Number of Independent Claims in Patent (C).</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p><input checked="" type="checkbox"/> Please charge Deposit Account No. <u>23-1703</u> in the amount of <u>\$2204</u>. A duplicate copy of this sheet is enclosed.</p> <p><input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees under 37 CFR 1.16 or 1.17 which may be required, or credit any overpayment to Deposit Account No. <u>23-1703</u>. A duplicate copy of this sheet is enclosed.</p> <p><input type="checkbox"/> A check in the amount of \$ _____ to cover the filing / additional fee is enclosed.</p> <p><input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.</p> <p style="text-align: center;">WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p>								
February 1, 2002				 Signature of Applicant, Attorney or Agent of Record <u>Scott T. Weingaertner</u> Typed or printed name Reg. No. 37,756				
Date								

Ref.: 1103179-0009

"Express Mail" Label No. <u>EL286382313US</u>
Date of Deposit <u>FEBRUARY 1, 2002.</u>
I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the. Assistant Commissioner for Patents, BOX REISSUE, Washington, D C 20231
<u>Michael Ramos</u> (Type or print name of person mailing paper or fee)
<u>Michael Ramos</u> (Signature of person mailing paper or fee)

RE: Application for Reissue;
U.S. Patent No. 6,021,265, original patent issue date February 1, 2000;
Inventor: Edward Colles Nevill;
Title: Interoperability with Multiple Instruction Sets;
Our Ref.: 1103179-0009

The following are enclosed:

- PTO/SB/50 - Reissue Patent Application Transmittal;
- PTO/SB/17 - Fee Transmittal and
- PTO/SB/56 - Reissue Application Fee Transmittal Form - both authorizing charges to Deposit Account 23-1703;
- Copy of Issued Patent 6,021,265, date of patent February 1, 2000 (including specification, claims, drawings, and abstract);
- Reissue Application Declaration by the Inventor;
- Power of Attorney;
- PTO/SBS/53 - Reissue Application: Consent of Assignee;
- PTO/SB/96 - Statement Under 37 CFR 3.73(b);
- Preliminary Amendment including: a Statement of status and support for all changes, a foreign priority claim, and an offer to surrender patent;
- Copy of a Terminal Disclaimer dated September 23, 1998;
- Notice of Involvement in Litigation; and
- Return postcard.

Respectfully submitted,

Scott T. Weingaertner

Scott T. Weingaertner, Reg. No. 37,756

Attorney's Direct Telephone: 212-819-8404

Customer No. 007470; Telephone: (212) 819-8200

Enclosures

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor : Edward Colles Nevill
Applicant/Assignee : ARM Limited
U.S. Patent No. : 6,021,265
Issued : February 1, 2000
For : INTEROPERABILITY WITH MULTIPLE
INSTRUCTION SETS

Express Mail Label: EL 286382313 US
I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 in an envelope addressed to: Box Reissue, Assistant Commissioner for Patents, Washington, D.C. 20231, on February 1, 2002.
<u>Michael Ramos</u> Name of person mailing paper or fee
<u>Michael Ramos</u> Signature of person mailing paper or fee

Box Reissue
Assistant Commissioner for Patents
Washington, D.C. 20231

NOTICE OF INVOLVEMENT IN LITIGATION

Prior to the filing of this reissue application, the above-referenced patent was the subject of a litigation in the United States District Court for the Northern District of California (ARM Limited v. picoTurbo, Inc. C-00-00957CW). The litigation has since been terminated.

Dated: February 1, 2002

Respectfully submitted,

Scott T. Weingaertner
Scott T. Weingaertner
Reg. No. 37,756
Attorney for Applicant

Customer No. 007470
Direct Dial: (212) 819-8404

STATEMENT UNDER 37 CFR 3.73(b)Patent Owner: ARM LimitedPatent No: 6,021,265Issue Date: Feb 1, 2000Entitled: Interoperability with Multiple Instruction SetsARM Limited, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 9438, Frame 0969, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

[] Additional documents in the chain of title are listed on a supplemental sheet.

- [] Copies of assignments or other documents in the chain of title are attached.

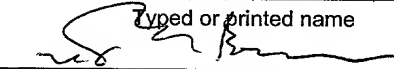
[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

30 Jan 2002
Date

W. Tudor Brown

Typed or printed name



Signature

Chief Operating Officer

Title

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